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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/402,144	09/29/1999	MARTINA HANCK	P991784	5593
29177	7590	06/29/2005	EXAMINER	
BELL, BOYD & LLOYD, LLC P. O. BOX 1135 CHICAGO, IL 60690-1135			KIM, JUNG W	
			ART UNIT	PAPER NUMBER
			2132	

DATE MAILED: 06/29/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/402,144

Applicant(s)

HANCK ET AL.

Examiner

Jung W. Kim

Art Unit

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-3, 10-12 and 19-48 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) 1-3, 10-12 and 19-48 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_.

### **DETAILED ACTION**

1. Claims 1-3, 10-12 and 19-48 are pending. A Response to the Office Action was filed on May 4, 2005; no amendment to the claims was filed in the response.

#### ***Response to Arguments***

2. The following is a response to the arguments presented on pages 9-11 of the "Response to the Office Action" filed on May 4, 2005 ("Remarks").

3. In reply to Applicant's argument that "the first methodology taught by Halsall concerning finding a commutative checksum, does not each encoding the sum and the second methodology concerning encoding does not each a commutative checksum ... this is logically the case because to incorporate both methodologies into one, singular system would be redundant and, more importantly, nonsensical to one of ordinary skill in the art" (Remarks, pg. 10, 2<sup>nd</sup> full paragraph), the teachings of the prior art suggest otherwise. Checksums are error detection functions that are implemented to identify errors in the transmission of data; these functions are well known to one of ordinary skill in the art as identified by the prior art of record, and further, a checksum value (or a commutative checksum value) would trivially be susceptible to modification and/or evaluating by an unscrupulous party since checksum algorithms are publicly known. Encryption functions on the other hand are cryptographic means to prevent a third party from uncovering and/or modifying data hidden by the encryption function. These

functions are distinct from other coding functions because, inter alia, they incorporate a secret key (symmetric or asymmetric) usually known only by the sender or receiver or both to prevent a determined third party from exploiting secured data. Cryptographic functions are designed so that even if the implementation of the function is known by an attacker (most crypto functions are published), a brute force attack to uncover the secret key, and hence the encrypted data, is infeasible. For example, RSA and triple DES are standard crypto functions wherein the implementation is publicly known and where the security of the function is reliant on a secret key. In summary, as taught by Halsall, cryptographic functions are implemented to secure data within a message transmission and checksum values are data values inserted into the transmission to indicate the original integrity of the message as submitted by the sender. Halsall, pages 128-129 and page 719, 2<sup>nd</sup> paragraph. Hence, Applicant's allegation that no motivation exists to combine encrypting a commutative checksum, completely ignores this difference between encryption and error correction techniques.

4. Finally, it is noted that Frezza discloses specifically encrypting an integrity value to ensure that no unauthorized modifications are made to the integrity value by an unscrupulous third party. Frezza, col. 2:20-3:13. This teaching establishes motivation to combine the two methodologies.

#### ***Claim Rejections - 35 USC § 103***

5. Claims 1-3, 10-12, 19-48 are rejected under 35 U.S.C. 103(a) as being unpatentable over Halsall, Data Communications, Computer Networks and Open

Systems 4<sup>th</sup> Edition (hereinafter Halsall) in view of Frezza et al. U.S. Patent No. 4,982,430 (hereinafter Frezza).

6. As per claim 10, Halsall teaches a block sum check, also known as a two-dimensional parity check, which forms a commutative checksum on digital data. This block sum check is arranged as follows:

- a. digital data is grouped into several data segments by a computer and processed to form a first segment checksum for each data segment. The first segment checksum constitutes the assignment of an odd or even parity bit to each block. This assignment is given the operational name of row parity (Halsall, page 129, 1<sup>st</sup> paragraph);
- b. the first segment checksums are processed to form a first commutative checksum (Halsall, page 129, 1<sup>st</sup> paragraph). The first commutative checksum constitutes an assignment of a parity bit (odd or even) for each bit position for all the blocks of a message, including the parity bit position of each block. This assignment is given the operational name of column parity and the block comprising the column parity bits is the first commutative checksum. In addition, Halsall teaches using an XOR operation to establish parity, which is a commutative operation (Halsall, page 128, Figure 3.14);
- c. the arrangement is incorporated into the sending side of a pair of Data Terminal Equipment (DTE) (see Halsall, page 125, section 3.4 and page 128, section 3.4.2). Conventionally, DTE incorporates at least one arithmetic/logic

unit: ALUs are the basic units required in hardware to perform arithmetic and logic microoperations.

7. Although Halsall does not cover a cryptographic operation to protect the first commutative checksum in this section (the section covers error detection methods), Halsall in a different section teaches data encryption operations as standard implementations on transmissions that require privacy on an unprotected network (Halsall, page 719, 2<sup>nd</sup> paragraph). However, Halsall does not expressly teach cryptographically protecting integrity values of a message. Frezza teaches encrypting integrity values to prevent unauthorized alteration of a message. Frezza, col. 2:45-3:13. It would be obvious to one of ordinary skill in the art at the time the invention was made to implement a cryptographic operation to secure the first commutative checksum. Motivation to combine prevents an unscrupulous third party from an unauthorized modification of a transmitted message. Frezza, col. 2:20-25. The aforementioned cover claim 10.

8. As per claim 11, Halsall in view of Frezza cover an arrangement as outlined above in the claim 10 rejection under 35 U.S.C. 103(a). In addition, the arrangement also includes the following:

a. the allocation of the predetermined cryptographic checksum to the digital data and the subjection of the cryptographic commutative checksum to an inverse cryptographic operation to form a first commutative checksum (Halsall, page 723, 1<sup>st</sup> paragraph). Halsall teaches any message encrypted by DES has

an inverse operation (decryption) to retrieve the original message (Halsall, page 723, 1<sup>st</sup> paragraph). Furthermore, every ciphertext is associated with a specific plaintext;

b. the formation of a second segment checksum for each data segment, the formation of a second commutative checksum by a commutative operation on the second segment checksums, and a comparison of the first commutative checksum and the second commutative checksum for a match (Halsall, page 129, Figure 3.15 (b)).

The aforementioned covers claim 11.

9. The above arrangements outlined in the claim 10 and 11 rejections under 35 U.S.C. 103(a) together covers the arrangement outlined in claim 12.

10. As per claims 37-39, Halsall in view of Frezza cover the following: 1) an arrangement for forming a first commutative checksum, 2) an arrangement for checking a predetermined cryptographic commutative checksum, and 3) an arrangement for forming and checking a first commutative checksum as outlined above in the claim 10, 11, and 12 rejections under 35 U.S.C. 103(a). In addition, the cryptographic operations described use a symmetric key methodology (Halsall, page 723, 1<sup>st</sup> paragraph).

11. As per claims 40-42, Halsall in view of Frezza cover the following: 1) an arrangement for forming a first commutative checksum, 2) an arrangement for checking

a predetermined cryptographic commutative checksum, and 3) an arrangement for forming and checking a first commutative checksum as outlined above in the claim 10, 11, and 12 rejections under 35 U.S.C. 103(a). In addition, Halsall teaches the commutative operation to establish column parity, which forms the commutative checksums, is an XOR operation (Halsall, page 127, section 3.4.1): the XOR operation exhibits both commutative and associative properties. Furthermore, control of the data inputs to the arithmetic circuits of the ALU determines the type of operation executed by the ALU. The aforementioned cover claims 40-42.

12. As per claims 43-45, Halsall in view of Frezza cover an arrangement as outlined above in the claim 11-12 rejections under 35 U.S.C. 103(a). Halsall does not expressly disclose archiving the digital data and the cryptographic commutative checksum. However, archiving the elements of a transmission are standard features to verify the contents of a transmission to an auditor. The examiner takes Official Notice that archiving transmission elements are standard means to record the transmission to prove the contents and status of the transmission at a latter date (i.e. auditing a transmission). It would be obvious to one of ordinary skill in the art at the time the invention was made to archive the digital data and the checksum. Motivation to combine preserves a receipt of the transmission.

13. As per claims 46-48, Halsall in view of Frezza cover the following: 1) an arrangement for forming a first commutative checksum, 2) an arrangement for checking



a predetermined cryptographic commutative checksum, and 3) an arrangement for forming and checking a first commutative checksum as outlined above in the claim 10, 11, and 12 rejections under 35 U.S.C. 103(a). In addition, as mentioned previously, the digital data is cryptographically protected, and by convention, the cryptographic operation would be implemented by an ALU. Furthermore, since Halsall teaches the arrangements in the context of a digital network, the digital data would necessarily be processed in accordance with a network management protocol. The aforementioned cover claims 46-48.

14. As per claims 1-3 and 22-33, they are method claims corresponding to claims 10-12, 37-48 and they do not teach or define above the information claimed in claims 10-12, 37-48. Therefore, claims 1-3 and 22-33 are rejected under Halsall in view of Frezza for the same reasons set forth in the rejections of claims 10-12, 37-48.

15. As per claims 34-36, Halsall in view of Frezza cover the following: 1) an arrangement for forming a first commutative checksum, 2) an arrangement for checking a predetermined cryptographic commutative checksum, and 3) an arrangement for forming and checking a first commutative checksum as outlined above in the claim 10, 11, and 12 rejections under 35 U.S.C. 103(a). However, the parity check described in the aforementioned methods for forming the segment checksums are not in accordance with a type from the group consisting of a hashing value, a CRC code, and a cryptographic one-way function as specified in the applicant's claims. In a separate

section, Halsall does teach that a CRC code is used in lieu of the parity check for more reliable detection of transmission errors such as burst errors (Halsall, page 130, section 3.4.3). It would be obvious to one of ordinary skill in the art at the time the invention was made to form the segment checksums using CRC instead of parity checking. The motivation for using CRC enables a more reliable detection of transmission errors for each segment as taught in the separate section of Halsall.

16. As per claims 19-21, they are method claims corresponding to claims 34-36 and they do not teach or define above the information claimed in claims 34-36. Therefore, claims 19-21 are rejected under Halsall in view of Frezza for the same reasons set forth in the rejections of claims 34-36.

### ***Conclusion***

17. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of

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the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jung W. Kim whose telephone number is (571) 272-3804. The examiner can normally be reached on M-F 9:00-5:00.

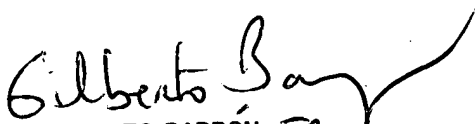
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron can be reached on (571) 272-3799. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



Jk  
June 24, 2005

Jung W Kim  
Examiner  
Art Unit 2132



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